

Effective Email Management

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Agenda

- Defining the issue
- Business, legal, and regulatory issues
- Approaches to managing email
- Elements of an email policy
- Additional resources

Email – defining the issue

- First email was sent in 1971
- Today more email is sent every day than the USPS delivers in a year
 - 9 billion emails a day in the US alone
 - Predicted to grow to more than 50 billion a day world-wide by end of 2006
- 60% or more of business-critical information is stored within messaging systems

Email – the 50,000 ft. view

- Why are we sending so much email?
 - It's easy
 - It's less formal*
 - It's nearly instantaneous
 - It's asynchronous
 - It's convenient

* Well...

Business, Legal, and Regulatory Issues



Business issues

- Email storage costs
 - Up to 200 GB email per month for 1,000-user company: that's a lot of storage!
 - Plus costs to back up to tape
 - Each terabyte of email (or less than 6 months of email) costs \$100,000 a year to manage
 - Lost productivity due to managing email costs \$120 per user per month, or \$120,000/month

Business issues cont'd

- Email retrieval costs
 - It takes more than 11 hours to recover an email more than 1 year old from an archive
 - Typically have to restore the entire tape to a spare (!) server to find the desired message(s)
 - 29% of organizations would not be able to restore an email message over 6 months old

Legal issues

- Electronic discovery for a Fortune 500 company costs an average of \$750,000 per case
- 75% of the demands for discovery are for email
- Courts may look negatively on discovery provided in other than native format...
- ...but may also require that it be provided in an accessible format (rather than backup tape)
- New Federal Rules of Civil Procedure

Regulatory and recordkeeping issues

- Email messages are records
 - as defined in SEC 17a-4, SOX, many state laws
- Email has to be accessible today...and tomorrow
 - Media and hardware
 - Email systems and formats
 - Attachments and *their* formats
- Email messages might be records – but email is NOT a series!

Email and records management

- Need to keep email record through retention period
- Then need to destroy them according to regular business practices and records policy
- Email must be managed centrally
 - Message archives are discoverable
 - The “deleted messages box” is discoverable
 - Individual messages and personal copies are discoverable
 - The more user intervention required, the less users will comply

Approaches to Managing Email



Approaches to managing email today

Server/mailbox approaches to retention:

1. Do nothing
2. Keep everything forever
3. Delete all messages older than X date
4. Limit mailbox size to X MB
5. Declare and manage email as records

Approaches to managing email today

Policy approaches to retention:

1. As email comes into the main server, by rules
 - Ensures absolute compliance by all users
2. After email sent to inboxes, but managed by rules
3. Decentralized – employees do it
 - a. Messages on the server
 - b. Messages in .PST files

Technologies for managing email

- Most messaging systems are not designed to support records management requirements
- Print & file doesn't work in many circumstances
- Email should be migrated to appropriate systems
 - Electronic records management system is preferred
 - Email archival system may be acceptable
 - Document management system may be acceptable

Technologies for managing email cont'd

- System must store and retain messages sent or received
- Attachments must be kept, either attached to the message or separately and linked
- Metadata must be captured accurately
 - Date and time sent
 - Sender and addressee(s)*
 - Subject and content of message
- Calendar items, receipts, CC/BCCs...

Technologies cont'd

- Email messaging applications
- Email archival applications
- Email desktop applications
- Email appliances
- Hosted email solutions

Email attachments

- Attachments may form part of an email record
- Attachments must be stored and managed
- Whether to store with the email record or not depends on the system used
 - Some systems store the attachments separately but linked, while others maintain the entire record as one object
- At a minimum the email record should note the name of any attachments

.PST Files

- Used to store messages locally on PCs using Outlook
- .PST files present a number of issues
 - Lack of backup
 - Multiple copies of messages, attachments
 - File size limited to 2GB
 - Multiple .PST files!
- So how do you deal with them?
 - DON'T!*

Elements of an Email Policy



Email policy principles

- Email belongs to the organization, not the individual
 - Email should be stored and managed systematically, not on users' desktops
- Email is not a records series unto itself
- Ensure email management program complies with appropriate regulatory requirements
- Policy has to be followed and enforced!
- May also address appropriate use, employee training, notification of abuse, etc.

Elements of an email policy

- Guidelines for determining whether an individual email is a record or nonrecord
- Guidelines for what information must be stored and where
- Identification of what metadata must be captured and linked to individual records
- Guidelines for ensuring email records are accessible throughout retention period

Elements of an email policy

- Requirement to assess and mitigate risks associated with email management and failure to do so
- Establishment of appropriate disposition methods
- Guidelines for maintaining the integrity of the email system and the individual email records
- Guidelines for retaining and management attachments

Elements of an email policy

- Process for establishing disposition holds
- Process for disaster recovery
- Process for auditing the effectiveness of the program

Additional resources

- Electronic Mail Policy, ENT-NET-042, State of MT IT Services Division
- E-Mail Guidelines, Montana State Records Committee
- *E-Mail Rules*, Nancy Flynn and Randolph Kahn Esq., ePolicy Institute
- ANSI/ARMA 9-2004, Requirements for the Management of Electronic Messages as Records, ARMA International

For more information

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